



Mail Label ED005050817US

PTO/SB/08a (08-03)

Approved for use through 07/31/2006. OMB 0651-0031

**U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE**

**Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.**

<p>Substitute for form 1449A/PTO</p> <h2 style="text-align: center;">INFORMATION DISCLOSURE STATEMENT BY APPLICANT</h2> <p><i>(Use as many sheets as necessary)</i></p>				<b>Complete If Known</b>	
				Application Number	10/661,709
				Filing Date	09/12/2003
				First Named Inventor	Blauvelt et al.
				Art Unit	2878
				Examiner Name	Suezu Y Ellis
Sheet	1	of	3	Attorney Docket Number	XPNT22NP

## **INFORMATION DISCLOSURE STATEMENT BY APPLICANT**

*(Use as many sheets as necessary)*

Shee

1

1

3

Mney Docket Number | XPNT22NP

## **U.S. PATENT DOCUMENTS**

## **FOREIGN PATENT DOCUMENTS**

Examiner Signature	Suey Gollis	Date Considered	17 OCT 05
-----------------------	-------------	--------------------	-----------

**\*EXAMINER:** Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. "Applicant's unique citation designation number (optional)." See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. **3**Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). **4**For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. **5**Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. **6**Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

Substitute for form 1449B/PTO				<b>Complete If Known</b>	
				<i>Application Number</i>	10/661,709
				<i>Filing Date</i>	09/12/2003
				<i>First Named Inventor</i>	Blauvelt et al.
				<i>Art Unit</i>	2878
				<i>Examiner Name</i>	Suezu Y Ellis
Sheet	2	of	3	Attorney Docket Number	XPNT22NP

NON PATENT LITERATURE DOCUMENTS						
Examiner Initials*	Cite No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.				T <sup>2</sup>
SYE		BAZYLENKO ET AL, Fabrication of Light-Turning Mirrors in Buried-Channel silica Waveguides for Monolithic and Hybrid Integration, Journal of Lightwave Technology, 01/1997, Page(s) 148-153, Volume 15, Number 1				
SYE		BOUADMA ET AL, 1.3-um GaInAsP/InP Buried-Ridge-Structure Laser and its Monolithic Integration with Photodetector Using RI Beam Etching, Journal of Lightwave Technology, 05/1994, Page(s) 742-748, Volume 12, Number 5				
SYE		CHAO ET AL, Fresnel Analysis of Effective Mirror Reflectivity in Folded-Cavity In-Plane Surface-Emitting Lasers, IEEE Photonics Technology Letters, 04/1993, Page(s) 390-392, Volume 4, Number 4				
SYE		FUKANO ET AL, A Low-Cost Edge-Illuminated Refracting-Facet Photodiode Module with Large Bandwidth and High Responsivity, Journal of Lightwave Technology, 01/2000, Page(s) 79-83, Volume 18, Number 1				
SYE		FUKANO ET AL, High-Responsivity and Low-Operation-Voltage Edge-Illuminated Refracting-Facet Photodiodes with Large Alignment Tolerance, Journal of Lightwave Technology, 05/1997, Page(s) 894-899, Volume 15, Number 5				
SYE		FUKANO ET AL, Edge-illuminated refracting-facet photodiode with high responsivity and low-operation voltage, Electronics Letters, 12/05/1996, Page(s) 2346-2348, Volume 32, Number 25				
SYE		GFELLER ET AL, 50 mW CW-Operated Single-Mode Surface-Emitting AlGaAs Lasers with 45 deg Total Reflection Mirrors, IEEE Photonics Technology Letters, 07/1992, Page(s) 698-700, Volume 4, Number 7				
SYE		HILLERINGMANN ET AL, Optoelectronic System Integration on Silicon:Waveguides, Photodetectors, and VLSI CMOS Circuits on One Chip, IEEE Transactions on Electron Devices, 05/1995, Page(s) 841-846, Volume 42, Number 5				
SYE		JONES ET AL, Hybrid integration onto silicon motherboards with planar silica waveguides, IEE Proc. Optoelectron., 10/1996, Page(s) 316-321, Volume 143, Number 5				
SYE		KATO ET AL, Large Coupling Tolerance Side-Illuminated Mirror Photodiode for Low-Cost Surface Hybrid Integration, IEEE Photonics Technology Letters, 06/1999, Page(s) 709-711, Volume 11, Number 6				
SYE		STRANDMAN ET AL, Fabrication of 45 deg Mirrors Together with Well-Defined V-Grooved Using Wet Anisotropic Etching of Silicon, Journal of Microelectromechanical Systems, 12/1995, Page(s) 213-219, Volume 4, Number 4				

Examiner Signature	<i>Suezu Ellis</i>	Date Considered	17 OCT 05
--------------------	--------------------	-----------------	-----------

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup>Applicant's unique citation designation number (optional). <sup>2</sup>Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

**Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.**

Substitute for form 1449B/PTO				<i>Complete If Known</i>	
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>				<i>Application Number</i>	10/661,709
				<i>Filing Date</i>	09/12/2003
				<i>First Named Inventor</i>	Blauvelt et al.
				<i>Art Unit</i>	2878
				<i>Examiner Name</i>	Suezu Y Ellis
<i>(Use as many sheets as necessary)</i>					
Sheet	3	of	3	<i>Attorney Docket Number</i>	

## **NON PATENT LITERATURE DOCUMENTS**

Examiner Signature	Susan Ellis	Date Considered	17 OCT 05
-----------------------	-------------	--------------------	-----------

**EXAMINER:** Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

**Applicant's unique citation designation number (optional).** **Applicant is to place a check mark here if English language Translation is attached.**

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

*If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.*